

# EXHIBIT 3

*In re Lehman Brothers Holdings Inc., et al.*

**Exhibit List Pursuant to ¶13 of the Evidentiary Hearing Procedures [ECF No. 42176]**

**EXHIBIT LIST FOR REPRESENTED COMPENSATION CLAIMANTS  
(EXCLUDING NEUBERGER BERMAN CLAIMANTS)**

EX NO	DOC DATE	DESCRIPTION	BEG BATES	END BATES
CLX 001	1/28/2014	Declaration Of Ralph I. Miller In Support Of Memorandum Of Law In Support Of Debtors' Seventy-Third, One Hundred Eighteenth, One Hundred Thirtieth, One Hundred Thirty-First, One Hundred Thirty-Third, One Hundred Thirty-Fourth, One Hundred Thirty-Fifth, One Hundred Seventy-Sixth And Two Hundred Seventh Omnibus Objections To Claims (To Reclassify Proofs Of Claim As Equity Interests) (Incl.		
CLX 002	10/2/2013	Exhibit A to Declaration Of Ralph I. Miller, Order Approving Stipulation of Facts Regarding RSUs and CSAs, Including the Tax and Accounting Treatment of RSUs and CSAs, dated October 2, 2013 (with attached Stipulation and exhibits), [ECF No. 40263]		
CLX 003	12/21/2011	Exhibit B to Declaration Of Ralph I. Miller, Hearing Transcript, <i>In re Lehman Bros. Holdings, Inc.</i> , No. 08-13555-jmp (Bankr. S.D.N.Y. Dec. 21, 2011) [ECF No. 23741]		
CLX 004		Exhibit C to Declaration Of Ralph I. Miller, Lehman Brothers 2005 Equity Award Program For Bonus-Eligible and Production-Based Employees	LEH-RSU 0022573	LEH-RSU 0022584
CLX 005	2/13/2006	Exhibit D to Declaration Of Ralph I. Miller, Excerpts from LBHI's 2005 Form 10-K for Fiscal Year ended November 30, 2005, dated February 13, 2006	LEH-RSU 0005994	LEH-RSU 0005994
CLX 006	11/8/2007	Exhibit E to Declaration Of Ralph I. Miller, Lehman Brothers Holdings Inc. Employee Incentive Plan as amended through November 8,	LEH-RSU 0000254	LEH-RSU 0000262
CLX 007	3/29/2013	Exhibit F to Declaration Of Ralph I. Miller, Letter from Karen M. Simon Kreiger to Honorable James M. Peck, Robert J. Lemons, Esq., and Mark Bernstein, Esq., dated March 29, 2013 re: Participation in RSU Claims Discovery in Connection with Omnibus Objections to Reclassify Proofs of Claim as Equity Interest: Karen M. Simon Krieger – Claim Number: 18087 in the amount of \$164.319.52, sent in response to LBHI's Discovery Requests (without production		
CLX 008	3/4/2014	Supplemental Declaration Of Ralph I. Miller in Support Of LBHI's Opposition To Claimants' Opening Memoranda Regarding Debtors' Seventy-Third, One Hundred Eighteenth, One Hundred Thirtieth, One Hundred Thirty-First, One Hundred Thirty-Third, One Hundred Thirty- Fourth, One Hundred Thirty-Fifth, One Hundred Seventy-Sixth And Two Hundred Seventh Omnibus Objections To Claims (To Reclassify Proofs Of Claim As Equity Interests) (Incl. Exhibits A-E)		
CLX 009	6/30/1995	Exhibit A to Supplemental Declaration Of Ralph I. Miller, Excerpts from Enron Corporation's 1995 Form S-8, dated June 30, 1995		
CLX 010		Exhibit B to Supplemental Declaration Of Ralph I. Miller, 2004 Stock Option Award Agreement Evidencing A Grant of Nonqualified Stock Option - Managing Directors"	LEH-RSU 0002313	LEH-RSU 0002316
CLX 011		Exhibit C to Supplemental Declaration Of Ralph I. Miller, 2005 Stock Option Award Agreement Evidencing A Grant of Nonqualified Stock Option - Senior Vice-Presidents	LEH-RSU 0002403	LEH-RSU 0002406
CLX 012	1/5/2014	Exhibit D to Supplemental Declaration Of Ralph I. Miller, Motion for Leave to File A Response Out of Time with an attached Objection to Disallowing and Expunging Claim Number 1773500 filed by Thomas C. McBarron in <i>In re Enron Corp., et al.</i> , No. 0116034 (AJG) (Bankr. S.D.N.Y. Jan. 5, 2004), [ECF Doc 15647]		
CLX 013	8/21/2007	Exhibit E to Supplemental Declaration Of Ralph I. Miller, Summons and Verified Complaint for Breach of Contract and Other Claims Against Defendants in <i>Berkowitz v. Club Ventures Investments LLC, et al.</i> , No. 07-602824 (N.Y.S. Aug. 21, 2007), [NYSCEF DOC.		
CLX 014	10/2/2013	Order Approving Stipulation of Facts Regarding RSUs and CSAs, Including the Tax and Accounting Treatment of RSUs and CSAs, dated October 2, 2013 (with attached Stipulation and exhibits), [ECF No. 40263]		

CLX 015	6/3/1999	Exhibit 1 to Stipulation, Employment contract with Managing Director Claimant with identifying information redacted	LS CLMT-RSU 000005	LS CLMT-RSU 000006
CLX 016	5/4/2007	Exhibit 2 to Stipulation, Employment contract with Claimant with identifying information redacted	CLX CLMT-RSU 000296	CLX CLMT-RSU 000297
CLX 017		Exhibit 3 to Stipulation, Lehman Brothers 2003 Equity Award Program for Senior Vice President	LEH-RSU 0015888	LEH-RSU 0015902
CLX 018		Exhibit 4 to Stipulation, Lehman Brothers 2003 Managing Director Equity Award Program - Agreement Evidencing A Grant Of Restricted Stock Units	LEH-RSU 0015051	LEH-RSU 0015054
CLX 019		Exhibit 5 to Stipulation, Lehman Brothers 2004 Equity Award Program - Agreement Evidencing A Grant Of Restricted Stock Units (Investment Representatives)	LEH-RSU 0014329	LEH-RSU 0014332
CLX 020		Exhibit 6 to Stipulation, 2005 Managing Director Equity Award Program - Agreement Evidencing A Grant Of Restricted Stock Units	LEH-RSU 0000108	LEH-RSU 0000111
CLX 021		Exhibit 7 to Stipulation, 2006 Equity Award Program - Agreement Evidencing A Grant Of Restricted Stock Units	LEH-RSU 0017757	LEH-RSU 0017761
CLX 022		Exhibit 8 to Stipulation, 2007 Equity Award Program - Agreement Evidencing A Grant Of Restricted Stock Units	LEH-RSU 0000278	LEH-RSU 0000282
CLX 023		Exhibit 9 to Stipulation, 2003 Equity Award Program - Contingent Stock Award Letter	LEH-RSU 0007228	LEH-RSU 0007231
CLX 024		Exhibit 10 to Stipulation, 2004 Equity Award Program - Contingent Stock Award Letter	LEH-RSU 0001054	LEH-RSU 0001057
CLX 025		Exhibit 11 to Stipulation, 2005 Equity Award Program - Contingent Stock Award Letter	LEH-RSU 0001082	LEH-RSU 0001085
CLX 026		Exhibit 12 to Stipulation, 2006 Equity Award Program - Contingent Stock Award Letter	LEH-RSU 0019153	LEH-RSU 0019158
CLX 027		Exhibit 13 to Stipulation, 2007 Equity Award Program - Contingent Stock Award Letter	LEH-RSU 0000263	LEH-RSU 0000268
CLX 030		Exhibit 14 to Stipulation, 2008 Equity Award Program - Questions and Answers for Bonus-Eligible Employees and Production-Based Employees	LEH-RSU 0000927	LEH-RSU 0000942
CLX 031		Exhibit 15 to Stipulation, 2008 Equity Award Program - Questions and Answers for Bonus-Eligible and Production-Based Employees	LEH-RSU 0000911	LEH-RSU 0000926
CLX 032		Exhibit 16 to Stipulation, Lehman Brothers 2005 Total Compensation Statement, with identifying information redacted	CLX CLMT-RSU 000124	CLX CLMT-RSU 000124
CLX 033		Exhibit 17 to Stipulation, Lehman Brothers 2006 Total Compensation Statement (with identifying information redacted) used for overseas employees	CLX CLMT-RSU 000046	CLX CLMT-RSU 000046
CLX 034		Exhibit 18 to Stipulation, FY 2008 compensation statement with identifying information redacted		
CLX 035		Exhibit 19 to Stipulation, FY 2008 compensation statement with identifying information redacted		
CLX 036	4/14/2004	Exhibit 20 to Stipulation, Email from Mark Gross to James Emmert with subject "FW: Based on your most excellent feedback, Ian has made some changes to the document" and attaching a presentation entitled "Stock Awards Overview 0413a.ppt"	LEH-RSU 0014995	LEH-RSU 0014995
CLX 037		Exhibit 21 to Stipulation, Page 6 of the presentation "Stock Awards Overview 0413a.ppt" attached to Mark Gross' email, Exhibit 20 to Stipulation	LEH-RSU 0015001	LEH-RSU 0015001
CLX 038		Guide to Working at Lehman Brothers	LEH-RSU 000292	LEH-RSU 0000330
CLX 039	10/3/2006	LBHI Minutes of the Compensation and Benefits Committee October 3, 2006, redacted in part	LEH-RSU 000588	LEH-RSU 0000609
CLX 040	11/14/2006	LBHI Minutes of the Compensation and Benefits Committee November 14, 2006, redacted in part	LEH-RSU 000714	LEH-RSU 0000735
CLX 041	7/1/2008	2008 Equity Award Program -- Questions and Answers for Bonus-Eligible and Production-Based Employees	LEH-RSU 000911	LEH-RSU 0000926
CLX 042	9/1/2004	Max J. Schwarz, <i>A Primer on Stock-Based Compensation and Selected Recent Developments, contained in Hot Issues in Executive Compensation 2004</i> , PLI Tax Law & Estate Planning Course Handbook Series, 642 PLI/Tax 57		
CLX 043		J. Slain & H. Kripke, <i>The Interface between Securities Regulation and Bankruptcy - Allocating the Risk of Illegal Securities Issuance between Security holders and the Issuer's Creditors</i>		
CLX 044		C. Edgar Adkins, Jr. & Jeffrey A. Martin, <i>Restricted Stock: The Tax Impact on Employers and Employees</i> , 107 J. Tax. 224 (2007)		

CLX 045		Weil, Gotshal & Manges LLP, Bankruptcy Blog, <i>Tightening the Golden Handcuffs: Forfeiture Provisions in Stock, Voluntary Plans</i> , April 5, 2004, New York Law Journal		
CLX 049	3/4/2014	Declaration of Claimant Darian J. Cohen In Opposition To Debtors' Fourteen Omnibus Objections Seeking To Reclassify Or Subordinate Compensation Claims As Equity (Incl. Exhibits A-B)		
CLX 050		Exhibit A to Cohen Declaration, Proof of Claim Form for Claim 16153		
CLX 051		Exhibit B to Cohen Declaration, Epiq System Claims Search Results		
CLX 052		Declaration of Claimant Nestor De Jesus In Opposition To Debtors' Fourteen Omnibus Objections Seeking To Reclassify Compensation Claims As Equity, Or Alternatively to Subordinate Claims Pursuant To § 510(b) Of The Bankruptcy Code (Incl. Exhibit 1)		
CLX 053	3/3/2014	Exhibit 1 to Declaration of Claimant Nestor De Jesus, Proof of Claim Form		
CLX 054		Declaration of Claimant Michael Gran In Opposition To Debtors' Fourteen Omnibus Objections Seeking To Reclassify Compensation Claims As Equity, Or Alternatively to Subordinate Claims Pursuant To § 510(b) Of The Bankruptcy Code		
CLX 055	3/3/2014	Declaration of Claimant Karen M. Simon Krieger In Opposition To Debtors' Fourteen Omnibus Objections Seeking To Reclassify Compensation Claims As Equity, Or Alternatively to Subordinate Claims Pursuant To § 510(b) Of The Bankruptcy Code (Incl. Exhibit 1)		
CLX 056	3/4/2014	Exhibit 1 to Declaration of Claimant Karen M. Simon Krieger, Proof of Claim Form for Claim 9876		
CLX 057		Declaration of Claimant Michael J. Petrucelli In Opposition To Debtors' Fourteen Omnibus Objections Seeking To Reclassify Compensation Claims As Equity, Or Alternatively to Subordinate Claims Pursuant To § 510(b) Of The Bankruptcy Code (Incl. Exhibit 1)		
CLX 058	3/4/2014	Exhibit 1 to Declaration of Claimant Michael J. Petrucelli, Proof of Claim Form for Claim 5770		
CLX 059		Declaration of Claimant Sandy Fleischman Richman In Opposition To Debtors' Fourteen Omnibus Objections Seeking To Reclassify Compensation Claims As Equity, Or Alternatively to Subordinate Claims Pursuant To § 510(b) Of The Bankruptcy Code (Incl. Exhibit 1)		
CLX 060	3/4/2014	Exhibit 1 to Declaration of Claimant Sandy Fleischman Richman, Proof of Claim Form for Claim 8530		
CLX 061	03/01/2014	Declaration of Claimant Christian Stevens In Opposition To Debtors' Fourteen Omnibus Objections Seeking To Reclassify Or		
CLX 062	7/1/2004	Exhibit A to Stevens Declaration, Lehman Brothers Equity Award Program Questions And Answers For Aurora Sales Managers, July		
CLX 063	1/16/2008	Exhibit B to Stevens Declaration, E-mail from Compensation to Stevens re: RSU's		
CLX 064		Exhibit C to Stevens Declaration, Proof of Claim Form for Claim 25431		
CLX 065		LBHI's 30(b)(6) Deposition dated October 24, 2013 (Incl. Exhibits A, T, U, V)		
CLX 066		Exhibit A to LBHI's 30(b)(6) Deposition dated October 24, 2013		
CLX 067		Exhibit T to LBHI's 30(b)(6) Deposition dated October 24, 2013		
CLX 068		Exhibit U to LBHI's 30(b)(6) Deposition dated October 24, 2013		
CLX 069		Exhibit V to LBHI's 30(b)(6) Deposition dated October 24, 2013		
CLX 070		2007 Equity Award Program For Bonus-Eligible Employees and Production-Based Employees	LEH-RSU 0000269	LEH-RSU 0000277
CLX 071		Email from R. Polisi to C. Tuininga with copy to T. Binkley, E. Arreglado, K. Macleod and J. Gault re: "Shareholder Q&A Slides – for updating" and attaching powerpoint slides entitled "Compensation: Info from: HR / Chris Tuininga"	LEH-RSU 0007514	LEH-RSU 0007562
CLX 072	2/13/2007	1997 Trust Under Lehman Brothers Holdings Inc. Incentive Plans	LEH-RSU 0002279	LEH-RSU 0002296
CLX 073	9/7/1997	Lehman Brothers Holdings Inc. Employee Incentive Plan, as amended through Feb. 19, 2003	LEH-RSU 0000001	LEH-RSU 0000006
CLX 074	2/19/2003	RSU Trust Authorization	LEH-RSU 0002472	LEH-RSU 0002476
CLX 075	3/26/1997	Hearing Transcript, <i>In re Lehman Brothers Holdings, Inc.</i> , No. 08-13555-jmp, [12/27/2011] [ECF. No. 23741]		
CLX 076	12/21/2011	Hearing Transcript, <i>In re Lehman Brothers Holdings, Inc.</i> , No. 08-13555-jmp, [6/14/2012] [ECF. No. 28434]		
CLX 076	5/31/2012			

CLX 077	10/2005	Confidential Presentation to Lehman Brothers Executive Committee, Equity Award Program Design, October 2005 Draft	LEH-RSU 0022747	LEH-RSU 0022771
CLX 078	11/15/2007	2007 Amendments to Outstanding Equity Awards to Comply with Tax Rules	LEH-RSU 0008108	LEH-RSU 0008115
CLX 079	07/07/2008	Email from Michael J. McNamara to Coburn Packard, Quentin Reynolds and Michael Barr, Subject – FW: Equity Award Program	LEH-RSU 0020678	LEH-RSU 0020681
CLX 080	09/20/2008	Employee Q&A – Americas	LEH-RSU 0008160	LEH-RSU 0008165
CLX 081	1994	1994 Lehman Brothers Stock Award Program (note: CSAs-related)	LEH-RSU 0001853	LEH-RSU
CLX 082	2003	2003 Equity Award Program (note: CSAs-related)	LEH-RSU 0007277	LEH-RSU 0007292
CLX 083	11/17/2005	2005 Lehman Brothers Equity Award Program, Stock Option Election for Non-US Based Senior Vice Presidents and Managing Directors (Except Japan)	LEG-RSU 0016055	LEH-RSU 0016061
CLX 084	2005	2005 Equity Award Program for Bonus-Eligible and Production-Based Employees (note: CSAs-related)	LEH-RSU 0001094	LEH-RSU 0001106
CLX 085	2006	2006 Equity Award Program for Bonus-Eligible and Production-Based Employees (note: CSAs-related)	LEH-RSU 0000182	LEH-RSU 0000197
CLX 086	2007	2007 Equity Award Program for Bonus-Eligible and Production-Based Employees (note: CSAs-related)	LEH-RSU 0000269	LEH-RSU 0000277